

Meeting Minutes: Internal Control Roundtable

Date: November 29, 2018
Minutes prepared by: Josh Botnen, Internal Control Specialist
Location: Veteran's Service Building, Fifth floor conference room

Attendance

Myron Frans, Eric Hallstrom and Janelle Tummel (MMB), Amy Jorgenson, Jake Rossow, Steven Nyame, and Josh Botnen (ICA), Paul Mathe (DPS), Laurie Studer, Jennifer Xiong, and Amie Wunderlich (MnDOT), Nick Mokaya and Wilson Tinda (PCA), Sandy Ludwig (MDH), Robert Helgeson (OHE), Titima To and Ken Vandermeer (DHS), Mike Thone (MHFA), Barry Fick (HEFA), Gina Amacher and Lee Ho (MDOR), Vicky Baukol, Mark Pochardt (DOC), John Nyanjom (MNSure), Annie Balghiti (BAH), Courtney Quinn (MDVA), Anton Towne and Arthur Alexander (Lottery), Kevin Hoese (Racing Commission), Fekade Cherinet (DEED), Robert Helgeson (OHE), Gretchen Nussbaum (DLI), Bridgett Anderson (Board of Dentistry), David Salchow (Admin), Paul Mandell (CAAPB), Iryna Shafir (SBI), Eric Athman (DMA), Shakira Bradshaw (CMAH), Jennifer Nasifoglu (AGO), and Katrina Jones (MDE).

Action Items

- Risk assessment agencies – complete Phase 2: Agency Risk Assessment Implementation, Steps 7 – 15 of the Agency Risk Assessment procedure and submit the Agency Risk Assessment Worksheet to MMB ICA Unit by Dec. 31, 2018.
- Risk Assessment Phase 2 extension requests are due Friday, December 14, 2018. Please send them to the [Internal Control Unit group email](#) with a copy to [Amy Jorgenson](#).

Agenda

- Welcome and Introductions – Myron Frans, Commissioner of Minnesota Management and Budget, welcomed the group, thanked attendees for their work in internal controls and introduced keynote speaker, Amy Jorgenson.
- Amy Jorgenson, Director of Enterprise Internal Controls at Minnesota Management and Budget introduced herself and described her work history and internal controls experience within the

State of Minnesota. She is excited for her new role and the opportunities it provides to make a difference and strengthen internal controls at all state agencies and the enterprise as a whole. She reminded agencies that Phase 2 training is available, and the deadline for Phase 2 submissions is December 31, 2018.

- Eric Hallstrom, Deputy Commissioner at Minnesota Management and Budget talked about his takeaways from Phase 2. He emphasized consolidating similar goals and examining goals that don't have a clear subject matter expert.
- Gina Amacher, Acting Internal Audit Manager at the Minnesota Department of Revenue described how their team led the process for Phase 2 and had meetings with SMEs. She said now that they are nearing completion, they would like clarification on what to focus on next.
- Paul Mathe, Internal Controls Manager at the Minnesota Department of Public Safety talked about removing the low risk and no risk activities from the spreadsheet and keeping them on an additional tab and consolidating similar goals.
- Jake Rossow followed discussion with announcements from ICA. Jake:
 - Thanked all agencies for participating in Fraud Awareness and Prevention Week and told them the survey will be coming out soon;
 - Explained that agency specific Risk Assessment Phase 2 training is now available, talk to any Internal Controls team member if interested. The baseline for this training will be the PowerPoint used during the enterprise Phase 2 training on August 7, 2018.
- Open Forum
 - Amy Jorgenson informed agencies the deadline for Phase 2 extension requests is Friday December 14, 2018.
 - Agencies discussed questions relating to electronic signatures, the Internal Controls Unit is going to look into it.
 - There were questions and discussion relating to how to create buy in from SMEs and agency leadership.
 - Agencies inquired about Phase 3 training, the Internal Controls Unit will let agencies know when a decision has been made.

Special Announcement – please read!

Some roundtable members have let us know that they recently received emails from an address that looks similar to ours with a subject line of "MN_MMB_InternalControl fee invoice". This is a phishing attempt – do not take the bait! Report this and any other phishing attempts to your IT security administrator.

Next Meeting

Date: Thursday, January 10, 2019

Time: 9:00 a.m. to 11:00 a.m.

Location:

- Courtney Quinn, Internal Control and Audit Director for the Department of Veterans Affairs will host the meeting at the Veterans Service Building, fifth floor conference room. The Veterans Service Building is located at 20 West 12th Street, St. Paul, MN 55155. Roundtable members enter the building through the central walkway west-side doors. Take the elevator to the fifth floor. There are no check-in or security procedures, but the door is locked prior to 8:00 a.m. [Parking information](#) - Lot K is closest to the Veterans Service Building.

Agenda items:

- TBD – an Outlook meeting invitation update will be sent once the agenda is finalized.
- Open Forum